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*LIMITED TO MATTERS
AND PROCEEDINGS BEFORE
FEDERAL COURTS & AGENCIES
**REGISTERED PATENT AGENT
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December 7, 2001

Commissioner for Patents
Washington, D.C. 20231

Re: U.S. Utility Patent Application
Appl. No. 09/937,604; 102(e) Date: March 24, 2000
For: **Adjuvant Compositions and Methods for Enhancing Immune
Response to Polynucleotide-Based Vaccines**
Inventor: Carl J. Wheeler
Our Ref: 1530.0310002/EKS/EJH

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Original Certificate Under 37 C.F.R. § 3.73(b) along with a copy of the Assignment document;
2. Original Power of Attorney from Assignee; and
3. Return Postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

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December 7, 2001

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The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Elizabeth J. Haanes", with a long, sweeping horizontal stroke extending to the right.

Elizabeth J. Haanes, Ph.D.

Attorney for Applicants

Registration No. 42,613

EJH/pcd
Enclosures



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Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: Carl J. Wheeler

Application No./Patent No.: 09/937,604, 102(e) Date: September 26, 2001, which is the U.S. National Phase of
PCT/US00/08282, International Filing Date: March 24, 2000

Entitled: Adjuvant Compositions and Methods for Enhancing Immune Responses to Polynucleotide-Based Vaccines

Vical Incorporated, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 12-3-01 (Dec. 3, 2001)

Name: Alan E. Dow, Ph.D.

Title: Vice President, General Counsel

Signature: Alan E. Dow